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L4: Entry 58 of 93

File: USPT

Feb 27, 2001

US-PAT-NO: 6195647

DOCUMENT-IDENTIFIER: US 6195647 B1

TITLE: On-line transaction processing system for security trading

DATE-ISSUED: February 27, 2001

## INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Martyn; Peter	Ridgewood	NJ		
DeNat; Mark	Bedford	NY		
Hall; Diane Geberth	Laremont	NY		
Slomowitz; Ira	Saba			IL
Franke; Maureen	Jersey City	NJ		
Pang; Mei	West Orange	NJ		
Flynn; Edward	Newtown	CT		
Waldo; Mike	Danberry	CT		
Sweet; Pam	Beacon Falls	CT		
Coords; Deane	Woodbridge	CT		

## ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
The Nasdaq Stock Market, Inc.	Washington	DC			02

APPL-NO: 08/ 722847   [PALM]

DATE FILED: September 26, 1996

INT-CL: [07] B06 F 17/60

US-CL-ISSUED: 705/37; 705/35, 705/36

US-CL-CURRENT: 705/37; 705/35, 705/36

FIELD-OF-SEARCH: 705/37, 705/36, 705/35, 345/333

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

**Search Selected****Search ALL****Clear**

PAT-NO

ISSUE-DATE

PATENTEE-NAME

US-CL

☐4412287

October 1983

Braddock, III

705/37

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FOREIGN-PAT-NO	PUBN-DATE	COUNTRY	US-CL
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WO 91/13518	September 1991	WO	
WO 92/12488	July 1992	WO	
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Berkely, Alfred R, "NASDAQ's Technology Floor: Its President Takes Stock", IEEE Spectrum, Feb. 1997.

ART-UNIT: 271

PRIMARY-EXAMINER: Cosimano; Edward R.

ASSISTANT-EXAMINER: Hayes; John W.

ATTY-AGENT-FIRM: Fish & Richardson P.C.

ABSTRACT:

A data processing system provides an interface with a securities exchange system over which securities are traded. The system allows a user to configure displays tailored for specific functions and to show displays for a particular security. The user may also view a display showing information about selected securities, monitor trade activity, participate in a trade, and report trades. In addition, a user may display information for a selected set of securities on a continuously updated basis and can easily select from a displayed list, a desired security and certain information and functions associated with the selected security.

29 Claims, 14 Drawing figures

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L3: Entry 1 of 2

File: USPT

Feb 1, 2005

US-PAT-NO: 6850907

DOCUMENT-IDENTIFIER: US 6850907 B2

TITLE: Automated price improvement protocol processor

DATE-ISSUED: February 1, 2005

## INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Lutnick; Howard	New York	NY		
Fraser; Stuart	Armonk	NY		
Paul; Bijoy	North Brunswick	NJ		

## ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
Cantor Fitzgerald, L.P.	New York	NY			02
CFPH, L.L.C.	New York	NY			02

APPL-NO: 09/ 216464 [\[PALM\]](#)

DATE FILED: December 18, 1998

## PARENT-CASE:

STATEMENT OF RELATED CASE This is a continuation-in-part of U.S. patent application Ser. No. 08/766,733, filed Dec. 13, 1996, now U.S. Pat. No. 5,905,974, the disclosure of which is incorporated herein by reference.

INT-CL: [07] [G06 F 17/60](#)

US-CL-ISSUED: 705/37

US-CL-CURRENT: [705/37](#)

FIELD-OF-SEARCH: 705/37, 705/39, 345/168, 345/172

PRIOR-ART-DISCLOSED:

## U.S. PATENT DOCUMENTS

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0416482	March 1991	EP	
0512702	November 1992	EP	
2 258 061	January 1993	GB	
62-256164	November 1987	JP	
WO 95/26005	September 1995	WO	
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#### ABSTRACT:

A data processing system for implementing transaction management of auction-based trading for specialized items such as fixed income instruments. The data processing system provides a highly structured trading protocol implemented through a sequence of trading paradigms. The system employs a distributed computer processing network linking together a plurality of commonly configured program controlled workstations. The protocol and its program controlling logic enhances trading

efficiency, rewards market Makers, and fairly distributes market opportunity to system users.

113 Claims, 13 Drawing figures

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